**Table of Contents** i

# **Table of Contents**

# **Index to the Export Administration Regulations**

### Le

Legal Authority for the Export Administration Regulations		
Part	730	General Information
	730.1	What these regulations cover
	730.2	Statutory authority
	730.3	Dual use and other types of items subject to the EAR
	730.4	Other control agencies and departments
	730.5	Coverage of more than exports
	730.6	Control purposes
	730.7	License requirements and exceptions
	730.8	How to proceed and where to get help
	730.9	Organization of the Bureau of Industry and Security
	730.10	Advisory information
	Suppleme	ent No. 1 to Part 730; Information Collection Requirements Under the Paperwork Reduction Act: OMB Control Numbers
	Suppleme	ent No. 2 to Part 730; Technical Advisory Committees
	Supplement No. 3 to Part 730; Other U.S. Government Departments and Agencies with Export Control Responsibilities	
Part	732	Steps For Using the EAR
	732.1	Steps overview
	732.2	Steps regarding scope of the EAR
	732.3	Steps regarding the ten general prohibitions
	732.4	Steps regarding License Exceptions
	732.5	Steps regarding Electronic Export information (EEI) requirements, Destination Control
		Statements, and Recordkeeping
	732.6	Steps for other requirements
	Suppleme	ent No. 1 to Part 732; Decision Tree
	C 1	AN 0 - D - 700 01' 1 FAD0

Supplement No. 2 to Part 732; Subject to the EAR?	
Supplement No. 3 to Part 732; BIS's "Know Your Customer" Guidance and Red Flag	S

Part 734	Scope of the Export Administration Regulations
734.1	Introduction
734.2	Subject to the EAR
734.3	Items subject to the EAR
734.4	De minimis U.S. content
734.5	Activities of U.S. and foreign persons subject to the EAR
734.6	Assistance available from BIS for determining licensing and other requirements
734.7	Published
734.8	"Technology" or "software" that arises during, or results from, fundamental research
734.9	[Reserved]
734.10	Patents
734.11	[Reserved]
734.12	Effect on foreign laws and regulations
734.13	Export
734.14	Reexport
734.15	Release

Table of Contents ii

	734.16	Transfer (in-country)
	734.17	Export of encryption source code and object code software
	734.18	Activities that are not exports, reexports, or transfers
	734.19	Transfer of access information
	734.20	Activities that are not deemed reexports
		nt No. 1 to Part 734; [Reserved]
		nt No. 2 to Part 734; Guidelines for <i>De Minimis</i> Rules
	о прртини	2 00 1 4.0 70 1, 00.000
Part	736	<b>General Prohibitions</b>
	736.1	Introduction
	736.2	General prohibitions and determination of applicability
	Supplemen	nt No. 1 to Part 736; General Orders
		nt No. 2 to Part 736; Administrative Orders
	11	
Part	738	Commerce Control List Overview and the Country Chart
	738.1	Introduction
	738.2	Commerce Control List (CCL) structure
	738.3	Commerce Country Chart structure
	738.4	Determining whether a license is required
	Supplemen	nt No. 1 to Part 738; Commerce Country Chart
Part		License Exceptions
	740.1	Introduction
	740.2	Restrictions on all License Exceptions
	740.3	Shipments of limited value (LVS)
	740.4	Shipments to Country Group B countries (GBS)
	740.5	Civil end-users (CIV)
	740.6	Technology and software under restriction (TSR)
	740.7	Computers (APP)
	740.8	[RESERVED]
	740.9	Temporary imports, exports, reexports, and transfers (in-country) (TMP)
	740.10	Servicing and replacement of parts and equipment (RPL)
	740.11	Governments, international organizations, international inspections under the Chemical Weapons
		Convention, and the international space station (GOV)
	740.12	Gift parcels and humanitarian donations (GFT)
	740.13	Technology and software - unrestricted (TSU)
	740.14	Baggage (BAG)
	740.15	Aircraft, vessels and spacecraft (AVS)
	740.16	Additional permissive reexports (APR)
	740.17	Encryption commodities, software, and technology (ENC)
	740.18	Agricultural commodities (AGR)
	740.19	Consumer Communications Devices (CCD)
	740.20	License Exception Strategic Trade Authorization (STA).
	740.21	Support for the Cuban People (SCP).
		nt No. 1 to Part 740; Country Groups
		nt No. 2 to Part 740; Items that may be Donated to Meet Basic Human Needs Under the Humanitarian
	**	License Exception
	Supplemen	nt No. 3 to Part 740; License Exception ENC Favorable Treatment Countries

# Part 742 Control Policy – CCL Based Controls

Table of Contents iii

742.1	Introduction
742.2	Proliferation of chemical and biological weapons
742.3	Nuclear nonproliferation
742.4	National security
742.5	Missile technology
742.6	Regional stability
742.7	Crime control and detection
742.8	Anti-Terrorism: Iran
742.9	Anti-Terrorism: Syria
742.10	Anti-Terrorism: Sudan
742.11	Specially designed implements of torture, thumbscrews, and thumbcuffs; and parts and
	accessories, n.e.s.
742.12	[RESERVED]
742.13	Communications intercepting devices; software and technology for communication interception
	devices
742.14	Significant items: Hot section technology for the development, production or overhaul of
	commercial aircraft engines, components, and systems
742.15	Encryption items
742.16	[RESERVED]
742.17	Exports of firearms to OAS member countries
742.18	Chemical Weapons Convention (CWC or Convention)
742.19	Anti-terrorism: North Korea
Supplement N	o. 1 to Part 742; Nonproliferation of Chemical and Biological Weapons
	o. 2 to Part 742; Anti-terrorism Controls: North Korea, Syria and Sudan Contract Sanctity Dates and Related Policies
Supplement N	o. 3 to Part 742; [RESERVED]
	o. 4 to Part 742; [RESERVED]
	o. 5 to Part 742; [RESERVED]
	o. 6 to Part 742; Technical Questionnaire for Encryption and Other "Information Security" Items
Supplement N	o. 7 to Part 742; Description of Major Weapons Systems
	o. 8 to Part 742; Self-classification Report for Encryption Items
	• • • • • • • • • • • • • • • • • • • •
743 Spe	ecial Reporting and Notification
743.1	Wassenaar Arrangement
743.2	High performance computers: post shipment verification reporting
743.3	Thermal imaging camera reporting
743.4	Conventional arms reporting
743.5	Prior notifications to Congress of Exports of "600 Series Major Defense Equipment"
Supplement N	o. 1 to Part 743; Wassenaar Arrangement Participating States
744 Co	ntrol Policy: End-user and End-use Based
744.1	General provisions
744.2	Restrictions on certain nuclear end-uses
744.3	Restrictions on certain rocket systems (including ballistic missile systems and space launch
, 77.5	vehicles and sounding rockets) and unmanned air vehicles (including cruise missile systems,
	target drones and reconnaissance drones) end-uses
744.4	Restrictions on certain chemical and biological weapons end-uses
744.5	Restrictions on certain maritime nuclear propulsion end-uses
744.6	Restrictions on certain martine nuclear propulsion end-uses  Restrictions on certain activities of U.S. persons
744.7	Restrictions on certain exports to and for the use of certain foreign vessels or aircraft
744.8	Restrictions on exports and reexports to persons designated pursuant to Executive Order 13382 –
	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1

Part

Part

Table of Contents iv

	Blocking Property of Weapons of Mass Destruction Proliferators and Their Supporters	
744.9	Restrictions on certain exports and reexports of cameras controlled by ECCNs 6A003.b.3,	
	6A003.b.4.b, or 6A003.b.4.c	
744.10	Restrictions on certain entities in Russia	
744.11	License requirements that apply to entities acting contrary to national security or foreign policy	
	interests of the United States	
744.12	Restrictions on exports and reexports to persons designated in or pursuant to Executive Order	
	13224 (Specially Designated Global Terrorist) (SDGT)	
744.13	Restrictions on exports and reexports to persons designated pursuant to Executive Order 12947	
	(Specially Designated Terrorists) (SDT)	
744.14	Restrictions on exports and reexports to designated Foreign Terrorist Organizations (FTOs)	
744.15	Restrictions on exports, reexports and transfers (in-country) to persons listed on the Unverified	
	List	
744.16	Entity List	
744.17	Restrictions on certain exports, reexports and transfers (in-country) of microprocessors and	
	associated "software" and "technology" for 'military end uses' and to 'military end users'	
744.18	Restrictions on exports, reexports, and transfers to persons designated in or pursuant to Executive	
	Order 13315	
744.19	Licensing policy regarding persons sanctioned pursuant to specified statutes	
744.20	License requirements that apply to certain sanctioned entities	
744.21	Restrictions on certain military end-uses in the People's Republic of China (PRC).	
744.22	Restrictions on exports, reexports and transfers to persons whose property	
	and interests in property are blocked pursuant to Executive Orders	
	13310, 13448 or 13464	
	o. 1 to Part 744; Military End-use Examples for §744.17	
Supplement No. 2 to Part 744; List of Items Subject to the Military End-use License Requirement of §744.21		
Supplement No. 3 to Part 744; Countries Not Subject to Certain Nuclear End-use Restrictions in §744.2(a)		
Supplement No. 4 to Part 744; Entity List		
Supplement No. 5 to Part 744; Procedures for End-User Review Committee Entity List Decisions		
Supplement No. 6 to Part 744; Unverified List		
Supplement No. 7 to Part 744; Temporary General License		

### Part 745 Chemical Weapons Convention Requirements

- 745.1 Advance notification and annual report of all exports of Schedule 1 chemicals to other States
- 745.2 End-Use Certificate reporting requirements under the Chemical Weapons Convention

Supplement No. 1 to Part 745; Schedules of Chemicals

Supplement No. 2 to Part 745; States Parties to the Convention on the Prohibition of the Development, Production, Stockpiling, and Use of Chemical Weapons and on Their Destruction

Supplement No. 3 to Part 745; Foreign Authorized Agencies Responsible for Issuing End-Use Certificates Pursuant to §745.2

Part 746	<b>Embargoes and Other Special Controls</b>
746.1	Introduction
746.2	Cuba
746.3	Iraq
746.4	North Korea
746.5	Russian industry sector sanctions
746.6	[RESERVED]
746.7	Iran

Table of Contents v

	746.8	[RESERVED]
	746.9	Syria
	Supplement No	o. 1 to Part 746; Examples Of Luxury Goods
	Supplement No	p. 2 to Part 746; Russian Industry Sector Sanction List
Part	747	Special Iraq Reconstruction License
	747.1	Scope
	747.2	Eligibility requirements
	747.3	Eligible Items
	747.4	Steps you must follow to apply for a SIRL
	747.5	SIRL application review process
Part	748 Ap	plications (Classification, Advisory, and License) and Documentation
	748.1	General provisions
	748.2	Obtaining forms; mailing addresses
	748.3	Classification Requests and Advisory Opinions
	748.4	Basic guidance related to applying for a license
	748.5	Parties to the transaction
	748.6	General instructions for license applications
	748.7	Registering for electronic submission of license applications and related documents
	748.8	Unique license application and submission requirements
	748.9	Support documents for license applications
	748.10	Import Certificates and End-user Statements
	748.11	Statement by Ultimate Consignee and Purchaser
	748.12	Special provisions for support documents
	748.13	Delivery Verification (DV)
	748.14	Import Certificate for firearms destined for Organization of American States member countries
	748.15	Authorization Validated End-user (VEU)
	Supplement No	o. 1 to Part 748; BIS-748P; BIS-748P-A: Item Appendix, and BIS-748P-B: End-User Appendix;
		Multipurpose Application Instructions
		o. 2 to Part 748; Unique Application and Submission Requirements
		o. 3 to Part 748; BIS-711, Statement by Ultimate Consignee and Purchaser Instructions
	Supplement No	o. 4 to Part 748; Authorities Administering Import Certificate/ Delivery Verification (IC/DV) and End-User Statement Systems in Foreign Countries
		o. 5 to Part 748; U.S. Import Certificate and Delivery Verification Procedure
	Supplement No	o. 6 to Part 748; Authorities issuing Import Certificates under the Firearms Convention [RESERVED]
	Supplement No	p. 7 to Part 748; Authorization Validated End-user (VEU): List of Validated End-Users, Respective Eligible Items for export, reexport and transfer, and Eligible
		Destinations
	Supplement No	o. 8 to Part 748; Information Required in Requests for Validated End-User (VEU) Authorization
		p. 9 to Part 748; End-User Review Committee Procedures
Part	750 Ap	plication Processing, Issuance, and/or Denial
	750.1	Scope
	750.2	Processing of Classification Requests and Advisory Opinions
	750.3	Review of license applications by BIS and other government agencies and departments
	750.4	Procedures for processing license applications
	750.5	[RESERVED]
	750.6	Denial of license applications
	750.7	Issuance of licenses

Table of Contents vi

	750.8	Revocation or suspension of licenses
	750.9	Duplicate licenses
	750.10	Transfer of licenses for exports
	750.11	Shipping tolerances
Part	752	[RESERVED]
Part	754	Short Supply Controls
	754.1	Introduction
	754.2	Crude oil
	754.3	Petroleum products not including crude oil
	754.4	Unprocessed western red cedar
	754.5	Horses for export by sea
	754.6	Registration of U.S. agricultural commodities for exemption from short supply limitations on export
	754.7	Petitions for the imposition of monitoring or controls on recyclable metallic materials; Public hearings
	Suppleme	nt No. 1 to Part 754; Crude Petroleum and Petroleum Products
	Suppleme	nt No. 2 to Part 754; Unprocessed Western Red Cedar
	Suppleme	nt No. 3 to Part 754; Statutory Provisions Dealing with Exports of Crude Oil
Part	756	Appeals
	756.1	Introduction
	756.2	Appeal from an administrative action
Part	758	<b>Export Clearance Requirements</b>
	758.1	The Electronic Export Information (EEI) filing to the Automated Export System (AES)
	758.2	Automated Export System (AES)
	758.3	Responsibilities of parties to the transaction
	758.4	Use of export license
	758.5	Conformity of documents and unloading of items
	758.6	Destination control statement and other information furnished to consignees
	758.7	Authority of the Office of Export Enforcement, the Bureau of Industry and Security, Customs offices and Postmasters in clearing shipments
	758.8	Return or unloading of cargo at direction of BIS, the Office of Export Enforcement or Customs Service
	758.9	Other applicable laws and regulations
Part	760	Restrictive Trade Practices or Boycotts
	760.1	Definitions
	760.2	Prohibitions
	760.3	Exception to prohibitions
	760.4	Evasion
	760.5	Reporting requirements
	Suppleme	nt Nos. 1-16; Interpretations
Part	762	Recordkeeping
	762.1	Scope
	762.2	Records to be retained
	762.3	Records exempt from recordkeeping requirements
	762.4	Original records required

Table of Contents vii

	762.5	Reproduction of original records
	762.6	Period of retention
	762.7	Producing and inspecting records
Part	764	Enforcement and Protective Measures
	764.1	Introduction
	764.2	Violations
	764.3	Sanctions
	764.4	Reporting of violations
	764.5	Voluntary self-disclosure
	764.6	Protective administrative measures
	764.7	Activities involving items that may have been illegally exported or reexported to Libya
	764.8	Voluntary self-disclosures for boycott provisions
	Suppleme	ent No. 1 to Part 764; Standard Terms of Orders Denying Export Privileges

### Part 766 Administrative Enforcement Proceedings

Scope

, 00.1	Seope
766.2	Definitions
766.3	Institution of administrative enforcement proceedings
766.4	Representation
766.5	Filing and service of papers other than charging letter
766.6	Answer and demand for hearing
766.7	Default
766.8	Summary decision

766.9 Discovery 766.10 Subpoenas

766.1

766.11 Matter protected against disclosure

766.12 Prehearing conference

766.13 Hearings

766.14 Interlocutory review of rulings 766.15 Proceeding without a hearing

766.16 Procedural stipulations; extension of time

766.17 Decision of the administrative law judge 766.18 Settlement

766.19 Reopening

766.20 Record for decision and availability of documents

766.21 Appeals

766.22 Review by Under Secretary

766.23 Related persons766.24 Temporary denials

766.25 Administrative action denying export privileges

Supplement No. 1 to part 766; Guidance on Charging and Penalty Determinations in Settlement of Administrative Enforcement Cases

Supplement No. 2 to part 766; Guidance on Charging and Penalty Determinations in Settlement of Administrative Enforcement Cases Involving Antiboycott Matters

Part 768	Foreign Availability Determination Procedures and Criteria
768.1	Introduction
768.2	Foreign availability described
768.3	Foreign availability assessment
768.4	Initiation of an assessment

Table of Contents viii

768.5	Contents of foreign availability submissions and Technical Advisory Committee certifications
768.6	Criteria
768.7	Procedures
768.8	Eligibility of expedited licensing procedures for non-controlled countries
768.9	Appeals of negative foreign availability determinations
768.10	Removal of controls on less sophisticated items
Supplement No. 1 to Part 768; Evidence of Foreign Availability	
Supplement No. 2 to Part 768; Items Eligible for Expedited Licensing Procedures [RESERVED]	

## Part 770 Interpretations

- 770.1 Introduction
- 770.2 Item interpretations
- 770.3 Interpretations related to exports of technology and software to destinations in Country Group D:1

#### Part 772 Definitions of Terms

772.1 Definitions of terms as used in the Export Administration Regulations (EAR)

#### Part 774 The Commerce Control List

- 774.1 Introduction
- 774.2 [RESERVED]

Supplement No. 1 to Part 774; The Commerce Control List

Category 0 - Nuclear Materials, Facilities & Equipment (and Miscellaneous Items)

Category 1 - Materials, Chemicals, "Microorganisms", and Toxins

Category 2 - Materials Processing

Category 3 - Electronics

Category 4 - Computers

Category 5 (Part 1) - Telecommunications

Category 5 (Part 2) - Information Security

Category 6 - Sensors and Lasers

Category 7 - Navigation and Avionics

Category 8 - Marine

Category 9 - Aerospace and Propulsion

Supplement No. 2 to Part 774; General Technology and Software Notes

Supplement No. 3 to Part 774; Statements of Understanding

Supplement No. 4 to Part 774; Commerce Control List Order of Review

Supplement No. 5 to Part 774; Items Classified under ECCNs 0A521, 0B521, 0C521, 0D521 and 0E521

Supplement No. 6 to Part 774; Sensitive List

Supplement No. 7 to Part 774; Very Sensitive List